

United States Department of Agriculture Rural Development

Section 9006 Renewable Energy Systems and Energy Efficiency Improvements Grant Program

Simplified Grant Application Template

The simplified grant application template – on the following pages – provides access to fillable forms and a framework of divider pages to organize the grant application for submission to USDA-Rural Development. Please tab the divider pages as indicated.

Other tools are available on the Iowa Rural Development Business and Cooperative Program website at: www.rurdev.usda.gov/ia/rbs.html - click on energy program, then click on final regulation grant information.

Separate applications must be submitted for renewable energy system and energy efficiency improvement projects. Applicants may only submit **one** application **for each type** of project per fiscal year.

An original and 1 copy of the application must be submitted to the
Iowa Rural Development State Office,
Att: Business-Cooperative Programs
873 Federal Building
210 Walnut
Des Moines, Iowa 50309

A simplified grant application has total eligible project costs of \$200,000 or less and can involve commercial technology.

This template is designed for training and education and does not replace the 4280-B regulation.

USDA-Rural Development
Section 9006
Renewable Energy Systems and
Energy Efficiency Improvements Grant Program

Simplified Grant Application

Title of Project: _____

Submitted by

Applicant Name: _____

Address: _____

City: _____

County: _____

State: _____

Zip code: _____

Phone #: _____

E-mail: _____

Fax: _____

Choose one:

A Renewable Energy Systems Project

or

An Energy Efficiency Improvements Project

\$_____ Grant Request

Date_____

Table of Contents

(Title of the Project) _____

4280.111(b)(2) A detailed table of contents in the order presented below with clear pagination and chapter identification. The table of contents will include page numbers for each component of the proposal. Begin pagination immediately following the Table of Contents.

	Simplified Grant Application Components	Tab
I.	Title Page	
II.	Table of Contents	
III.	Project specific forms A. SF 424 - Application B. SF 424 C – Budget C. SF 424 D – Assurances D. 1940-20 “Request for Environmental Information” and attachments	A
IV.	Certifications A. AD 1049 B. AD 1048 C. Exh. A-1, 1940-Q – only required for grants requests exceeding \$100,000 D. Form SF-LLL E. AD 1047 F. 400-1 G. 400-4 H. A certification indicating whether or not there is a known relationship or association with an Agency (Rural Development) employee. I. A certification that the applicant meets the definition of demonstrated financial need. J. Guide 6 – Certification Regarding Qualification for Simplified Grant Applications 4280.109	B
V.	Legal organizational documents (including any contracts with investors)	C
VI.	Project Summary A. Title of Project B. Applicant eligibility C. Project Eligibility D. Operation Description E. Financial Information for Size Determination	D
VII.	Matching Funds Documentation	E
VIII.	Self Evaluation Score Documentation is tabbed to match the scoring criteria numbering.	F
IX.	Energy Audit (if project is an energy efficiency project)	G
X.	Technical Report	H

Tab A Divider Page	
Federal Tax ID #	
DUNS # <i>To get a DUNS number, call 1-800-234-3867 or go to www.dunandbradstreet.com/US/duns_update/index.html</i>	
Project Specific Forms 4280.111(b)(1)(i)A,B,C,D	
SF 424 – Application for Federal Assistance	
SF 424C – Budget Information <i>To provide a more itemized breakdown of eligible and ineligible expenses, attach a separate spreadsheet.</i>	
SF 424D – Assurances	
1940-20 – Request for Environmental Information – and documentation <i>Consult with the Rural Development Area Office Specialist for documentation needed.</i>	

Insert the following forms after the divider page for Tab A.

Each form is fillable on-line.

Each form that is in a pdf format may not be able to be saved to your computer. When you fill out the form on-line, print off a copy.

<http://www.rurdev.usda.gov/rbs/farmbill/9006form.html>

[SF 424](#)

[SF 424C](#)

[SF 424D](#)

[1940-20](#)

Tab B

Divider Page

Certifications 4280.111(b)(1)(ii)A through J

	Please indicate: X (enclosed) or NA (not applicable)
AD 1049 Certification Regarding Drug Free Workplace Requirements (Grants) Alternative 1 – “For Grantees other than Individuals.”	
AD 1048 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tiered Covered Transactions	
Exhibit A-1 of 1940-Q Certification for Contracts, Grants and Loans - if the grant exceeds \$100,000.	
Form SF-LLL Disclosure of Lobbying Activities, must be completed if the applicant or borrower has made or agreed to make payment using funds other than Federal appropriated funds to influence or attempt to influence a decision in connection with the application.	
AD 1047 Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions	
Form 400-1 Equal Opportunity Agreement	
Form 400-4 Assurance Agreement	
Intergovernmental comments in accordance with 7 CFR part 3015, subpart V, of this title.	Not applicable in Iowa
A certification indicating whether or not there is a known relationship or association with an Agency (Rural Development) employee.	
Applicants must provide certification that they meet the definition of demonstrated financial need, as defined in 4280.13. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Definition -The demonstration by an applicant that the applicant is unable to finance the project from its own and commercially available resources without grant assistance, or that the project proposed by the applicant cannot achieve the income and cash flows to sustain it financially over the long term without grant assistance. </div>	
Guide 6 - Certification Regarding Qualification For Simplified Grant Applications - 4280.109	

Insert the following forms after the divider page for Tab B

Each form is fillable on-line.

Each form that is in a pdf format may not be able to be saved to your computer. When you fill out the form on-line, print off a copy.

<http://www.rurdev.usda.gov/rbs/farmbill/9006form.html>

- A. [AD 1049](#)
- B. [AD 1048](#)
- C. [Exhibit A-1, 1940-Q](#) *(not applicable)*
- D. [SF-LLL](#) *(if applicable)*
- E. [AD 1047](#)
- F. [400-1](#)
- G. [400-4](#)

The remaining 3 certifications are on the next page.

Certifications

Applicant Name: _____

- H. The grantee _____ does or _____ does not have a known relationship or association with an Agency employee. If applicable, name and relationship of employee:

- I. The grantee certifies they meet the definition of demonstrated financial need as per 4280.103.

Definition -The demonstration by an applicant that the applicant is unable to finance the project from its own and commercially available resources without grant assistance, or that the project proposed by the applicant cannot achieve the income and cash flows to sustain it financially over the long term without grant

Applicant's Signature

Date

**Certification Regarding Qualification
For Simplified Grant Applications
4280.109**

WHEREAS, _____

herein called the "Grantee", intends to obtain assistance from the United States of America, acting through the U. S. Department of Agriculture, herein called the "Government", acting under the provisions of the Renewable Energy Systems and Energy Efficiency Improvements Grant Program 4280-B regulations.

NOW THEREFORE, the Grantee hereby certifies the following simplified application criteria have been or will be met:

- (1) The grantee (applicant) is eligible in accordance with 4280.107. (Guide 5)
- (2) The project is eligible in accordance with 4280.108.
- (3) Total eligible project costs are \$200,000 or less. The total eligible project cost of my project is

_____.

(4) The proposed project will use commercially available renewable energy systems or energy efficiency improvements.

(5) Construction planning and performing development will be performed in compliance with 4280.115. The grantee or the grantee's prime contractor will assume all risks and responsibilities of project development.

(6) The grantee or the grantee's prime contractor is responsible for all interim financing.

(7) The proposed project is scheduled to be completed within 24 months after entering into a grant agreement. The Agency may extend this period if the Agency determines, at its sole discretion, that the applicant is unable to complete the project for reasons beyond the applicant's control.

(8) The grantee agrees not to request reimbursement from funds obligated under this program until after project completion, including all operational testing and certifications acceptable to the Agency.

IN ADDITION, the Grantee hereby certifies the following application processing and administration requirements have been met and/or are agreed to:

(1) Applications documents have been submitted in accordance with 4280.111, or if applying for a combined grant and loan, also in accordance with 4280.193 (c).

(2) The grantee has certified that it meets the definition of demonstrated financial need, as defined in 4280.103. The Agency reserves the right to request additional information.

(3) The grantee certifies that project development will follow 4280.115, except as follows:

_____ (i) The grantee will participate in project development without direct compensation subject to approval in writing by the prime contractor. All applicable construction practices, manufacturer instructions, and all safety codes and standards will be followed during construction and testing, and the work product must meet all applicable manufacture specifications, and all applicable codes and standards. The prime contractor will be responsible for the overall successful completion of the project including any work done by the grantee,

or

_____ (ii) The grantee can demonstrate to the Agency that the grantee has the necessary experience and other resources to successfully complete the project and may serve as the prime contractor/installer. Projects where the grantee serves as the prime contractor will secure the services of an independent, professionally responsible, qualified consultant to certify testing specifications, procedures, and testing results.

(4) The project is complete when the grantee has provided a written final project development, testing, and performance report acceptable to the Agency. Upon notification of receipt of an acceptable project completion report, the grantee may request grant reimbursement. The Agency reserves the right to observe the testing.

(5) National flood insurance is required, if applicable. Business interruption insurance is not required.

I have executed this certification on this _____ day of _____, 20____.

Grantee

Grantee

Tab C Divider Page	
Legal Organizational Documents 4280.111(b)(1)(iii)	

Tab D Divider Page		
Project Summary 4280.111(b)(3)(i) through (v)		
Title of the project		
Applicant Eligibility (as per 4280.107)		
Project Eligibility (as per 4280.108)		
Operation Description		
Financial Information for Size Determination		
IRS forms	D-1	
NAICS code information <i>(if applicable)</i>	D-2	
Documentation of commercially available technology	D-3	
Third party contracts for management and maintenance <i>(if applicable)</i>	D-4	
Evidence of site control	D-5	

Section 9006 – Simplified Grant Application Project Summary

Applicant Name: _____

A. Title of Project: _____

This is a (choose one – _____ renewable energy project or an _____ energy efficiency project).

The applicant is (choose one – _____ an agricultural producer or _____ a rural small business).

B. Applicant Eligibility

(1)

If applying as an agricultural producer – please explain and attach documentation how you meet the following definition:

*An agricultural producer is an individual or entity directly engaged in the production of agricultural products, including crops (including farming); Livestock (including ranching); forestry products; hydroponics; nursery stock; or aquaculture, whereby **50% or greater of their gross income** is derived from the operations. 50% or greater of gross income is determined as follows:*

*Line 11 of IRS form Schedule F divided by
(line 22 IRS form 1040) + (line 35 of IRS form Schedule F) + (line 28 and 30 from Schedule C)*

Attached are previous year IRS tax forms to confirm the computation (Exhibit D-1).

Or -

If applying as a rural small business – please explain and attach documentation how you meet the following definition

<http://www.sba.gov/size/index.html>

An entity is considered a small business in accordance with the Small Business Administrations (SBA) small business size standards by NAICS found in Title 13 CFR part 121. A private entity including a sole proprietorship, partnership, corporation, cooperative (including a cooperative qualified under section 501(c)(12) of the Internal Revenue Code), and an electric utility including a Tribal or governmental electric utility that provides service to rural consumers on a cost of service basis without support from public funds or subsidy from the government authority establishing the district, provided such utilities meet SBA's definition of small business. These entities must operate independent of direct Government control. With the exception of the entities described above, all other non-profit entities are excluded.

Your NAICS code: _____ Type of business: _____

NAICS code limitations: _____

Your explanation and documentation (Exhibit D-2) of how you meet the limitations: _____

2) Citizenship – Please check one of the following as it pertains to your situation:

- _____ The applicant is an individual and is a citizen of the U.S. or has resided in the U.S. after being legally admitted for permanent residence.
- _____ The applicant is an entity which is at least 51% owned, directly or indirectly, by individuals who are either citizens of the U.S. or reside in the U.S. after being legally admitted for permanent residence.

3) Judgments or delinquencies

Yes	No	
		Do you have any outstanding judgments in federal court (other than U.S. tax court)?
		Are you delinquent in the payment of federal income taxes?
		Are you delinquent in any federal debt?
		Have you ever been debarred from federal financial assistance?

4) Financial Need

Tab B of this application provides a certification that the applicant meets the definition of financial need.

5) Previous Section 9006 grants received – Choose one of the following:

- _____ Yes, I have received a Section 9006 grant in the last 2 years.
The purpose of the grant was for:
The amount of the grant was:
- _____ No, I have not received a Section 9006 grant in the last 2 years.

C. Project Eligibility

(a) The proposed project is for the purchase of (check one):

- _____ a renewable energy system, or
_____ energy efficiency improvements.

A description of my project is:

(b) The proposed project is a (check one):

- _____ commercially available and replicable technology

Commercially available - A system that has a proven operating history specific to the proposed application. Such a system is based on established design, and installation procedures and practice. Professional service providers, trades, large construction equipment providers, and labor are familiar with installation procedures and practices. Proprietary and balance of system equipment and spare parts are readily available. Service is readily available to properly maintain and operate system. An established warranty exists for parts, labor, and performance.

Attached is the following documentation (Exhibit D-3) to support this classification:

(c) The project has technical merit as set forth in the technical report guidelines outlined in 4280.112 (d).

_____ Yes, the Technical report follows the format and content of Appendix A.

_____ No, the Technical report does not follow the format and content of Appendix A.

(d) The project is located in a rural area other than a city or town that has a population of greater than 50,000 inhabitants and the urbanized area contiguous and adjacent to such a city or town.

Project location _____ 2000 population census _____

(e) The owner of the project is _____.

Is the owner of the project and the applicant – the same individual or entity? _____ Yes _____ No

Does the owner control the revenues and expenses of the project, including operation and maintenance?

_____ Yes _____ No

If no, please explain (a third party under contract to the owner may be used to control revenues and expenses and manage the operation and/or maintenance of the project) – attached is any necessary documentation (Exh. D-4):

(f) Does the applicant control the site of the proposed project? _____ Yes _____ No

Attached is evidence the site is controlled by the applicant for the financing term of the loan guarantee or the useful life of the project financed by the grant (Exhibit D-5).

(g) Attached is documentation which shows there are satisfactory sources of revenue in an amount sufficient to provide for the operation, management, maintenance, and debt service of the project for the life of the project.

(Refer to item #6 in the technical report – project economic assessment)

D. Operation Description	
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- (1) Describe the applicant's total farm/ranch/business operation and the relationship of the proposed project to the applicant's total farm/ranch/business operation.
- (2) Provide a description of the ownership of the applicant, including a list of individuals and/or entities with ownership interest, names of any corporate parents, affiliates, and subsidiaries, as well as a description of the relationship, including products, between these entities.

E. Financial Information for Size Determination

Attached is financial information to allow the Agency to determine the applicant's size. All information submitted under this paragraph has been substantiated by authoritative records. Financial size will determine the number of points the applicant is eligible for – for scoring criteria #6 – Small agricultural producer – or – Very Small Business. Voluntarily providing tax returns is one means of satisfying this requirement and providing documentation for scoring criteria #6.

IRS forms submitted are as follows (please check as applicable):

- ☐ IRS form 1120 – Corporation
- ☐ IRS form 1120S – “S” corporation
- ☐ IRS form 1065 – Partnership
- ☐ IRS Schedule F – Farming
- ☐ IRS Schedule C – Business
- ☐ IRS Form 1040

(A) Rural small businesses must provide sufficient information to determine total annual receipts for and number of employees of the business and any parent, subsidiary, or affiliates at other locations. The information provided must be sufficient for the Agency to make a determination of business size as defined by SBA.

Total Annual Receipts – The total income or gross income (sole proprietorship) plus cost of goods sold.

The applicant's determination of business size is as follows:

- ☐ IRS form 1120 – Corporation – line 1a
- ☐ IRS form 1120 S – “S” Corporation – line 1a
- ☐ IRS form 1065 – Partnership – line 1a
- ☐ IRS Schedule C – Business – line 1
- ☐ IRS Schedule F – Farming – line 3-4

Documentation as to the number of employees is as follows:

or

(B) Agricultural producers: Provide the gross market value of your agricultural products, gross agricultural income, and gross non-farm income of the applicant for the calendar year preceding the year in which you submit your application.

- 1 ☐ Schedule F – line 3 and 4 (gross market value of agricultural products)
- 2 ☐ Schedule F – line 11 (gross agricultural income)
- 3 ☐ Line 22 of IRS form 1040 + line 28 and 30 from Schedule C (gross non-farm income)

☐ + ☐

<h1>Tab E</h1> <h2>Divider Page</h2>	
Matching Funds Documentation 4280.111(b)(5)	
A spreadsheet identifying sources of matching funds, amounts and status of matching funds. The spreadsheet will also include a directory of matching funds source contact information.	
Attach any applications, correspondence, or other written communication between applicant and matching fund source.	
The matching funds letter is not a letter of intent. It is a <u>commitment</u> to the project for a specific amount of dollars.	

Without specific statutory authority, other Federal grant awards and applicant in-kind contributions cannot be used to meet the matching fund requirement. Third-party, in-kind contributions are limited to 10% of the matching fund requirement of the grant. The Agency will advise if the third-party, in-kind contributions are acceptable in accordance with 7 CFR part 3015.

Passive third party equity contributions are acceptable for renewable energy system projects, including those that are eligible for Federal production tax credits, provided the applicant meets the requirements of Section 4280.107 (applicant eligibility).

Matching Funds Documentation Spreadsheet

Total Cost \$ _____

	Source of Funds	Contact Name	Contact Phone & Fax	Contact Address	Dollars	Status of Funds	Attachments to verify status?
1							
2							
3							
4							
5							
6							
7							
				Total Project Cost		(Should match total project cost on SF 424C located behind Tab A)	

<h1>Tab F</h1> <h2>Divider Page</h2>	
Self Evaluation Score 4280.111(b)(6)	
Self-score the project using the evaluation criteria 4280.112 (e).	
Use Appendix C to 4280-B or Guide 4– Scoring Guideline to complete the evaluation.	Guide 4 follows this divider page.
<p>To justify the score, submit the total score along with appropriate calculations and attached documentation, or specific cross- references to information elsewhere in the application.</p> <p>Tab the documentation attached to the score sheet to match the scoring criteria number. For example:</p> <p>Scoring criteria #1 – tab the documentation #1 Scoring criteria #2 – tab the documentation #2 Etc. Etc.</p>	

Renewable Energy and Energy Efficiency Improvement Program
Evaluation Criteria Scoring Guideline
 Per 4280-B Regulation -4280.112 (e)

Name of Applicant: _____
Type of Technology: _____
Funding Request: _____

Final Total Score (Points) (sum of Categories 1-10):

List the maximum points the applicant is eligible for under each of the following ten categories, sum the individual scores (points), and place the total in the above box under "Final Total Score."

(1) Quantity of Energy Replaced, Produced, or Saved.

Points may only be awarded for one category (A, B, or C). **NREL will provide their opinion on (i) or (ii) or (iii).**

(i) Energy replacement

If the proposed renewable energy system is intended primarily for self use by the agricultural producer or rural small business, and will provide energy replacement of:

Greater than 0 but equal to or less than 25%, award 5 points.	Points
Greater than 25%, but equal to or less than 50%, award 10 points.	
Greater than 50%, award 15 points.	
Determine energy replacement by dividing the estimated quantity of renewable energy to be generated over a 12 month period by the estimated quantity of energy consumed over the same 12 month period during the previous year by the applicable energy application. The estimated quantities of energy must be converted to British thermal units (BTU's), Watts, or similar energy equivalents to facilitate scoring. If the estimated energy produced equals more than 150% of the energy requirements of the applicable process(es), score the project as an energy generation project.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

or

(ii) Energy Savings (include additional 5 points if applicable)

(1) If the estimated energy expected to be saved by the installation of the energy efficiency improvements will be from:

20% up to but not including 30%, award 5 points.	Points
30% up to but not including 35%, award 10 points.	
35% or greater, award 15 points.	
Energy savings will be determined by the projections in an energy assessment or audit.	

(2) Additional points.

If the project has total eligible project costs of <u>\$50,000 or less</u> AND opts to obtain a professional energy audit, award an additional 5 points.	Points
---	--------

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

or

(iii) Energy generation

If the proposed renewable energy system is intended primarily for production of energy for sale, award 10 points.	Points
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Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(2) Environmental benefits

If the purpose of the proposed system contributes to the environmental goals and objectives of other Federal, State, or local programs, award 10 points.	Points
Award points only if the applicant provides documentation from an appropriate authority supporting this claim.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(3) Commercial availability

If the proposed system or improvement is currently commercially available and replicable, award 5 points.	Points
If the proposed system or improvement is commercially available and replicable and is also provided with a <u>5 year or longer warranty</u> providing the purchaser protection against system degradation or breakdown or component breakdown, award 10 points.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(4) Technical Merit – Score each paragraph (A) through (J) within this category according to the following rules:

The contents of the Technical report will substantiate the score for technical merit. NREL will determine final points awarded.

If the description - - -	
Has no significant weaknesses and exceeds the requirements of the paragraph	award 100% of the total possible score.
Has one or more significant strengths, and meets the requirements of the paragraph	award 80% of the total possible score.
Meets the basic requirements of the paragraph but also has several weaknesses	award 60% of the total possible score.
Is lacking in one or more critical aspects, key issues have not been addressed, but the description demonstrates some merit or strengths	award 40% of the total possible score.
Has serious deficiencies, internal inconsistencies or is missing information	award 20% of the total possible score.
Has no merit in this area	award 0% of the total possible score.
The total possible points for Technical Merit is 35 points.	

The 10 subparagraphs which are the basis for evaluation.	Maximum possible score	% of score awarded	Score Awarded
(A) Qualifications of the project team -The applicant has described the project team service providers, their professional credentials, and relevant experience. The description supports that the project team service, equipment, and installation providers have the necessary professional credentials, licenses, certifications, or relevant experience to develop the proposed project.	10		
(B) Agreements and Permits -The applicant has described the necessary agreements and permits required for the project and the schedule for securing those agreements and permits.	5		
(C) Energy or Resource Assessment -The applicant has described the quality and availability of a suitable renewable resource, or an assessment of expected energy savings for the proposed system.	10		
(D) Design and Engineering -The applicant has described the design, engineering, and testing needed for the proposed project. The description supports that the system will be designed, engineered, tested so as to meet its intended purpose, ensure public safety, and comply with applicable laws, regulations, agreements, permits, codes, and standards.	30		
(E) Project Development Schedule -The applicant has described the development method including the key project development activities and the proposed schedule for each activity. The description identifies each significant task, its beginning and end, and its relationship to the time needed to initiate and carry the project through to successful completion. The description addresses grantee or borrower project development cash flow requirements.	5		
(F) Project Economic Assessment -The applicant has described the financial performance of the proposed project, including the calculation of simple payback. The description addresses project costs and revenues, such as applicable investment and production incentives and other information to allow the assessment of the project's cost effectiveness.	20		
(G) Equipment Procurement - The applicant has described the availability of the equipment required by the system. The description supports that the required equipment is available, and can be procured and delivered within the proposed project development schedule.	5		
(H) Equipment Installation -The applicant has described the plan for site development and system installation.	5		
(I) Operations and Maintenance -The applicant has described the operations and maintenance requirements of the system necessary for the system to operate as designed over the design life.	5		
(J) Dismantling and disposal of project components The applicant has described the plan for dismantling and disposing of project components at the end of their useful lives and associated wastes.	5		
Total Possible Score	100	Total Score Awarded	
Total Score Awarded _____ = _____ % X 35 total possible points = Total Possible Score 100			Points awarded

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab # _____.

Your explanation of points awarded to be entered into the tracking system.

(5) Readiness (Grants only)

If the applicant has written commitments, prior to the Agency receiving the complete application, from the source(s) confirming commitment of:

50% up to but not including 75% of the matching funds, award 5 points.	Points
75% up to but not including 100% of the matching funds, award 10 points.	
100% of the matching funds, award 15 points.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(6) Small Agricultural Producer/Very Small Rural Business

If the applicant is an agricultural producer producing agricultural products with a gross market value of:

less than \$600,000 in the preceding year, award 5 points.	Points
less than \$200,000 in the preceding year, OR	
is a Very Small Rural Business as defined in 4280.103 (a business with less than 15 employees and less than \$1 million in annual receipts), award 10 points.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(7) Simplified application

If an applicant is eligible for and uses the simplified application process or if the project has total eligible project costs of \$200,000 or less, award 5 points.	Points
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Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(8) Previous grantees and borrowers

If the applicant has not been awarded a grant or loan under this program within the 2 previous Federal fiscal years, award 5 points.	Points
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Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(9) Return on investment (NREL will make the final determination for these points.)

If the proposed project will return the cost of investment in

Less than 4 years, award 10 points.	Points
4 years up to but not including 8 years, award 4 points.	
8 years up to 11 years, award 2 points.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

(10) Loan Rate (Guaranteed Loans only; 4280.129 (e)):

If the rate of the loan is below the Prime Rate (as published in the Wall Street Journal) plus 1.5 percent, award 5 points. OR	Points
If the rate of the loan below the Prime Rate (as published in the Wall Street Journal) plus 1 percent, award 10 points.	

Attach the documentation to substantiate this score for this category.

You have identified this documentation via tab #_____.

Your explanation of points awarded to be entered into the tracking system.

Tab G

Divider Page

Energy Audit or Energy Assessment (for Energy Efficiency Projects Only) 4280.111(b)(7)(i)(B)

<p>For energy efficiency improvement projects with total eligible project costs <u>greater than \$50,000</u>, <u>an energy audit must be conducted</u> by or reviewed and certified by an energy auditor.</p> <p>For energy efficiency improvement projects with total eligible project costs of <u>\$50,000 or less</u>, an energy assessment or an energy audit may be conducted by either an energy assessor or an energy auditor.</p> <p>If the project has total eligible project costs of <u>\$50,000 or less</u> AND opts to obtain a professional energy audit, award an additional 5 points.</p>	
<p>Energy audit – A report conducted by a Certified Energy Manager or Professional Engineer that focuses on potential capital-intensive projects and involves detailed gathering of field data and engineering analysis. The report will provide detailed project cost and savings information with a high level of confidence sufficient for major capital investment decisions. It will estimate costs, expected energy savings from the subject improvements, and dollars saved per year. The report will estimate weighted-average payback period in years.</p>	
<p>Energy assessment – a report conducted by an experienced energy assessor, certified energy manager or professional engineer assessing energy cost and efficiency by analyzing energy bills and briefly surveying the target building, machinery or system. The report identifies and provides a savings and cost analysis of low-cost/no-cost measures. The report will estimate the overall costs and expected energy savings from these improvements, and dollars saved per year. The report will estimate weighted-average payback period in years.</p>	

Tab H

Divider Page

Technical Report (required of every project) 4280.111(b)(7)(i)(A) and (C)

The Technical Report must be prepared in accordance with Appendix A , for projects with <u>total eligible project costs of \$200,000 or less.</u>	
The Technical report must demonstrate that the renewable energy system or energy efficiency improvement project can be installed and perform as intended in a reliable, safe, cost effective, and legally compliant manner.	
All information provided in the Technical Report will be evaluated against the requirements provided in Appendix A of this subpart. Any Technical Report <u>not prepared in the following format</u> and in accordance with Appendix A, where applicable, will be penalized under scoring for technical merit.	
Technical Report Requirements – Please consult Appendix A guidelines at http://www.rurdev.usda.gov/ia/rbcs_RE-EE_grants.html	
(1) Qualifications of the project team -The applicant has described the project team service providers, their professional credentials, and relevant experience. The description supports that the project team service, equipment, and installation providers have the necessary professional credentials, licenses, certifications, or relevant experience to develop the proposed project.	
(2) Agreements and Permits -The applicant has described the necessary agreements and permits required for the project and the schedule for securing those agreements and permits.	
(3) Energy or Resource Assessment -The applicant has described the quality and availability of a suitable renewable resource, or an assessment of expected energy savings for the proposed system.	
(4) Design and Engineering -The applicant has described the design, engineering, and testing needed for the proposed project. The description supports that the system will be designed, engineered, tested so as to meet its intended purpose, ensure public safety, and comply with applicable laws, regulations, agreements, permits, codes, and standards.	
(5) Project Development Schedule -The applicant has described the development method including the key project development activities and the proposed schedule for each activity. The description identifies each significant task, its beginning and end, and its relationship to the time needed to initiate and carry the project through to successful completion. The description addresses grantee or borrower project development cash flow requirements.	
(6) Project Economic Assessment -The applicant has described the financial performance of the proposed project, including the calculation of simple payback. The description addresses project costs and revenues, such as applicable investment and production incentives and other information to allow the assessment of the project's cost effectiveness.	
(7) Equipment Procurement - The applicant has described the availability of the equipment required by the system. The description supports that the required equipment is available, and can be procured and delivered within the proposed project development schedule.	
(8) Equipment Installation -The applicant has described the plan for site development and system installation.	
(9) Operations and Maintenance -The applicant has described the operations and maintenance requirements of the system necessary for the system to operate as designed over the design life.	
(10) Dismantling and disposal of project components -The applicant has described the plan for dismantling and disposing of project components at the end of their useful lives and associated wastes.	